

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

1530.0310002/EKS/EJH

U.S. APPLICATION NO. (IF KNOWN, SEE 37 C.F.R. § 1.5)

To be assigned **09/937604**

INTERNATIONAL APPLICATION NO

PCT/US00/08282

INTERNATIONAL FILING DATE

March 24, 2000

PRIORITY DATE CLAIMED

March 26, 1999

TITLE OF INVENTION

Adjuvant Compositions and Methods for Enhancing Immune Responses to Polynucleotide-Based Vaccines

APPLICANT(S) FOR DO/EO/US

Carl J. Wheeler

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)).
4. ☐ The US has been elected by the expiration of 19 months from the priority date (PCT Article 31).
5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau (copy of form PCT/IB/308 attached).
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
7. ☐ Amendments to the claims of the International application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 372(c)(3)).
9. ☐ An oath or supplemental declaration of the inventor (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern other document(s) or information included:

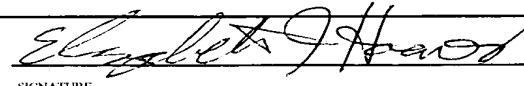
11. ☐ An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included.
13. ☐ A FIRST preliminary amendment.
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☐ Other items or information:
 - a. Copy of form PCT/IB/308
 - b. Application Data Sheet
 - c. Authorization to Treat a Reply as Incorporating an Extension of Time Under 37 C.F.R. § 1.136(a)(3)

U.S. APPLICATION NO. (if known, see 37 CFR 1.50) To be assigned 09/937604	INTERNATIONAL APPLICATION NO. PCT/US00/08282	ATTORNEY'S DOCKET NUMBER 1530.0310002/EKS/EJH
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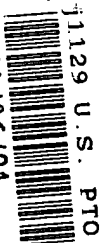
17. <input checked="" type="checkbox"/> The following fees are submitted:	CALCULATIONS PTO USE ONLY																				
Basic National Fee (37 CFR 1.492(a)(1)-(5)): Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO \$1000.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO \$860.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$710.00 International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$690.00 International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) \$ 100.00																					
ENTER APPROPRIATE BASIC FEE AMOUNT =	\$500.00																				
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).	\$																				
<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <th style="width:20%;">Claims</th> <th style="width:20%;">Number Filed</th> <th style="width:20%;">Number Extra</th> <th style="width:20%;">Rate</th> <th style="width:20%;"></th> </tr> <tr> <td>Total Claims</td> <td>1 - 20 =</td> <td>0</td> <td>X \$18.00</td> <td>\$</td> </tr> <tr> <td>Independent Claims</td> <td>1 - 3 =</td> <td>0</td> <td>X \$80.00</td> <td>\$</td> </tr> <tr> <td colspan="3">Multiple dependent claim(s) (if applicable)</td> <td>+ \$270.00</td> <td>\$</td> </tr> </table>	Claims	Number Filed	Number Extra	Rate		Total Claims	1 - 20 =	0	X \$18.00	\$	Independent Claims	1 - 3 =	0	X \$80.00	\$	Multiple dependent claim(s) (if applicable)			+ \$270.00	\$	
Claims	Number Filed	Number Extra	Rate																		
Total Claims	1 - 20 =	0	X \$18.00	\$																	
Independent Claims	1 - 3 =	0	X \$80.00	\$																	
Multiple dependent claim(s) (if applicable)			+ \$270.00	\$																	
TOTAL OF ABOVE CALCULATIONS =	\$ 500.00																				
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.	\$ 500.00																				
SUBTOTAL =	\$ 500.00																				
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).	\$																				
TOTAL NATIONAL FEE =	\$ 500.00																				
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property	\$																				
TOTAL FEES ENCLOSED =	\$ 500.00																				
	Amount to be refunded: \$																				
	charged: \$																				

a. ☐ A check in the amount of \$500.00 to cover the above fees is enclosed.
 b. ☐ Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.
 c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 19-0036. A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit Under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO: STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C. 1100 New York Avenue, NW, Suite 600 Washington, D.C. 20005-3934	 SIGNATURE Elizabeth J. Haanes, Ph.D. NAME <u>42,613</u> REGISTRATION NUMBER
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09/26/01



IC20 Rec'd PCT/PTO SEP 26 2001

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*LIMITED TO MATTERS
AND PROCEEDINGS BEFORE
FEDERAL COURTS & AGENCIES
**REGISTERED PATENT AGENT
***SENIOR COUNSEL

September 26, 2001

WRITER'S DIRECT NUMBER:
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Commissioner for Patents
Washington, D.C. 20231

Box Patent Application

Re: U.S. Non-Provisional Utility Patent Application under 37 C.F.R. § 1.53(b)
Appl. No. To be assigned; Filed: September 26, 2001
For: **Adjuvant Compositions and Methods for Enhancing Immune
Responses to Polynucleotide-Based Vaccines**
Inventor: Carl J. Wheeler
Our Ref: 1530.0310002/EKS/EJH

Sir:

The following documents are forwarded herewith for appropriate action by the U.S. Patent and Trademark Office:

1. Application Data Sheet;
2. Authorization to Treat a Reply As Incorporating An Extension of Time Under 37 C.F.R. § 1.136(a)(3) (*in duplicate*);
3. Transmittal Letter To The United States Designated/Elected Office (DO/EO/US) Concerning A Filing Under 35 U.S.C. 371;
4. A copy of form PCT/IB/308;
5. A copy of the executed Supplemental Declaration, as filed in co-pending U.S. Appl. No. 09/534,943;

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Commissioner for Patents

September 26, 2001

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6. Preliminary Amendment;
7. Our check no. **32679** in the amount of **\$500.00** to cover the basic national fee (37 C.F.R. 1.492(a)(1)-(5); and
8. Two (2) return postcards.

It is respectfully requested that, of the two attached postcards, one be stamped with the filing date of these documents and returned to our courier, and the other, prepaid postcard, be stamped with the filing date and unofficial application number and returned as soon as possible.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036. A duplicate copy of this letter is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Elizabeth J. Haanes, Ph.D.

Agent for Applicant

Registration No. 42,613

EJH/pcd

Encls.